

Communications and Information

**UNITED STATES TRANSPORTATION COMMAND
INFORMATION COLLECTIONS AND REPORTS MANAGEMENT PROGRAM**

BY ORDER OF THE DEPUTY COMMANDER

COMPLIANCE WITH THIS PUBLICATION IS MANDATORY

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This instruction establishes policies, procedures, and responsibilities for managing and controlling information collections and reporting (ICR) requirements, and developing information collections budgets (ICBs). It gives guidelines and procedures for licensing internal United States Transportation Command (USTRANSCOM) ICR requirements, requesting information from the public, Federal interagency reporting requirements, reporting projected public information collections to Congress, and modification or cancellation of existing ones. All information and reporting systems, as well as all techniques, both electronic and manual, are included under the provisions of this instruction unless specifically exempted. This instruction is applicable to all personnel assigned to USTRANSCOM. Transportation Component Commands will follow their Service instructions for information collections and reports. This instruction implements Federal Law, Department of Defense (DOD), and Air Force (AF) directives and manuals listed in Attachment 1, and contains additional instructions and guidance affecting the USTRANSCOM ICR Program. Use this instruction in conjunction with those publications. The use of a name or mark of any specific manufacturer, commercial product, commodity, or service in this publication does not imply endorsement by USTRANSCOM.

SUMMARY OF REVISIONS: Overall, generally updates the text and procedures of the ICR Management Program, deletes the annual reporting requirement, rescinds the use of Optional Form (OF) 101, *Summary Worksheet for Estimating Reporting Costs*, and rescinds the use of USTRANSCOM Form 42, *Information Collections and Reports Inventory Form*. (NOTE: Since this instruction has been revised in its entirety, asterisks will not be used to identify revised material.)

1. REFERENCES, ABBREVIATIONS, ACRONYMS, AND TERMS: References, abbreviations, acronyms, and terms used in this instruction are listed in Attachment 1.

2. POLICIES: The legal authority for records management in the Federal Government is established by Title 44, United States Code, Sections 21, *National Archives and Records Administration*; 29, *Records Management by the Archivist of the United States and by the Administrator of General Services*; 31, *Records Management by Federal Agencies*; and 33,

Disposal of Records. Public Law 104-13, *The Paperwork Reduction Act of 1995*, brings all executive agency information resource activities, including management, under one umbrella and assigns oversight to the Office of Management and Budget (OMB). Based on the above laws and implementing DOD and AF directives, the USTRANSCOM ICR program will reduce costly, ineffective, and redundant ICR requirements; establish procedures for information collecting and reporting of internal, public, and interagency requirements; minimize the Federal paperwork burden on the public, small businesses, and state and local governments; minimize the Federal Government's costs for collecting, maintaining, using, and disseminating information; maximize the usefulness of information collected, maintained, and disseminated by USTRANSCOM and other Federal agencies; and make sufficient information available to the command staff to achieve mission effectiveness. This instruction covers procedures that apply to existing, revised, and new ICRs, whether they are recurring or a one-time report. Refer to it for guidelines on all types of data and information collecting and reporting. Maintain and dispose of all records created as a result of processes prescribed in accordance with Chairman Joint Chiefs of Staff Manual (CJCSM) 5760.01, *Joint Staff and Combatant Command Records Management Manual, Volume I, Procedures, and Volume II, Disposition Schedule*.

3. RESPONSIBILITIES:

3.1. In USTRANSCOM, the Information Management (TCCS-IM), function decides policy and manages and controls the ICR Program through the Air Force Information Management Control Officer (IMCO), Air Force Communications Agency, Directorate of Chief Information Officer (CIO) Support, Corporate Information (AFCA/ITC). TCCS-IM is responsible for assigning USTRANSCOM Report Control Symbol (RCS) numbers to justified and validated ICR requirements; maintaining an inventory of command RCS reports; giving personnel guidelines and training; conducting periodic program reviews; reviewing and coordinating on all command publications and forms (new or revised) for compliance with this instruction; reviewing all requests for internal, public, and interagency collections; forwarding public and interagency collections to AFCA/ITC; acting as technical advisor and liaison to the Air Force IMCO; conducting triennial revalidation of all reporting requirements; responding to the annual call for projected ICBs and submitting to AFCA/ITC. The latter reporting requirement is exempt from licensing in accordance with DOD 8910.1-Manual, *DOD Procedures for Management of Information Requirements*.

3.2. Directorate/Command Support Group (CSG) Offices of Primary Responsibility (OPRs) will submit requests for ICR requirements that are concise, valid, accurate, and essential to the mission; licensed in accordance with this program; and standardized in use of data as referenced in AF Instruction 33-110, *Data Administration Program*. Directorates/CSG that are tasked to submit information will only respond to exempt or licensed ICR requirements. TCCS-IM will, in turn, notify the agency and ICR manager making a request for a reporting requirement without an approved control number that they need an RCS, OMB Control Number, or Interagency Report Control Number (IRCN). Directorates/CSG will not collect the required information until the

appropriate agency furnishes a control number. *(NOTE: If the requesting agency does not license the requirement, they must withdraw their request.)*

4. REPORT CONTROL SYMBOL (RCS) NUMBERS: An RCS is generally a series or combination of numbers or letters providing information about the ICR requirement. The symbol may identify the requiring organization, the subject of the report, the numerical sequence, the type of collection (one-time, temporary, feeder), and the frequency of the collection. It can also identify associated directives, forms, files, and other records through an integrated subject classification system and improve overall information management in the process. TCCS-IM will assign RCS numbers for USTRANSCOM's internal information collections.

5. REPORTS RECORDS: TCCS-IM will maintain ICR requirements case files containing a complete historical data of each collection. Case files contain the original documents relating to individual reports. Files that are used for analysis and for producing catalogs and management reports may be automated if such automation can be shown to be cost-effective. A case file should be established for each collection when it is begun and for existing reports identified in an inventory. Case files may be arranged sequentially by the RCS or alphabetically by the collection title.

6. INTERNAL REPORTING REQUIREMENTS: Internal ICR requirements are those collections USTRANSCOM initiates and imposes on other DOD components or that other DOD components initiate and impose on USTRANSCOM. Status, summary, or statistical information that is compiled and transmitted from one DOD component to another for management purposes requires licensing with an RCS. Queries about information contained in an established RCS report does not constitute a new reporting requirement. An RCS assigned to a reporting requirement does not apply to the submission of additional information not contained in the original report and required by intermediate headquarters. The intermediate headquarters is required to license the requirement for additional information by issuing an organizational RCS number. Whether information is submitted via a paper report, electronically, or directed insertion of data into an electronically accessible database, an RCS is required.

6.1. For each new or revised ICR requirement, TCCS-IM will review internal requirements requests submitted on AF Form 130 (Attachment 2), *Application for a Report Control Symbol*, to determine if they have been properly justified and meet the following guidelines:

6.1.1. Cost analysis in accordance with AF Form 130.

6.1.2. Screen against other licensed ICR requirements for redundancy.

6.1.3. Determine whether the request requires the collection of personal information on individuals. *(NOTE: If the request collects personal information on individuals, comply with the procedures in USTRANSCOM Instruction 33-35, USTRANSCOM Privacy Act Program.)*

6.1.4. Review reporting requirements generated in new automated systems with the OPR and comply with the procedures in CJCSM 5760.01.

6.1.5. Review RCS reports to ensure that they are current. *(NOTE: All RCS reports receive 3-year licenses.)*

6.1.6. Rescind RCS reports if their licenses have expired.

6.1.7. Assign an RCS number to justify and validate ICR requirements.

6.1.8. Maintain appropriate administrative files for each report. *(NOTE: These files will include, as a minimum, AF Form 130; a copy of the prescribing directive, letter, or message; a copy of associated forms; copies of pertinent correspondence; and copies of supplementing directives, if applicable).*

6.2. Directorates/CSG that generate the ICR requirement must request an RCS for new, revised, or revalidated requirements by submitting the following to TCCS-IM:

6.2.1. AF Form 130, signed by Director, Chief of CSG; or Chief of Staff for requirements with an associated cost over \$500,000.

6.2.2. A copy of the title page and pertinent section of the prescribing directive. *(NOTE: An RCS may be prescribed in a policy letter or message for a one-time report or to expedite a recurring ICR requirement prior to implementation in a prescribing directive. Recurring reporting requirements must be included in a prescribing directive within 120 days. Prescribing directives and policy letters must include the RCS number and title of report; data submitted, by whom, date due and where it is going; an explanation of reporting procedures during emergency conditions as indicated by the emergency status code (ESC) on the AF Form 130 (see paragraph 6.3); and an explanation on whether to continue to report data during MINIMIZE if the report is sent electronically as indicated on the AF Form 130.)*

6.2.3. A copy of any forms used to collect the requested information. *(NOTE: Forms used to submit data for an RCS report must show the RCS number in the upper right corner.)*

6.3. An ESC will be assigned to ICR requirements to guide the reporting procedures during emergency and crisis conditions that may hinder or sufficiently degrade the ability to collect the data. The status and precedence code assigned to a report should reflect its need during such conditions. The assignment of the ESC is important because a report with a lesser precedence may affect another with a higher precedence that could directly affect the wartime mission. It is important to examine a report in relation to overall data requirements when assigning an ESC. Many reports affect up-channel-reporting requirements. Use the following codes and definitions in the directives that prescribe or implement the ICR requirement:

6.3.1. Status Code “D” indicates: Immediately discontinue reporting data requirements during emergency conditions.

6.3.2. Status Code “C1” indicates: Continue reporting during emergency conditions, priority precedence. Submit data requirements assigned this category as prescribed or by any means to ensure arrival on the established due dates.

6.3.3. Status Code “C2” indicates: Continue reporting during emergency conditions, normal precedence. Submit data requirements assigned this category as prescribed or by any means to ensure arrival on the established due dates.

6.3.4. Status Code “C3” indicates: Continue reporting during emergency conditions, delayed precedence. Submit data requirements as prescribed, but they may be delayed to allow the submission of higher precedence reports. Submit by non-electronic means, if possible.

6.4. Procedures for internal ICR requirements that are sent electronically must be considered during MINIMIZE. The prescribing directive for these reports must include one of the following statements: “CONTINUE REPORTING DURING MINIMIZE,” or “DISCONTINUE REPORTING DURING MINIMIZE.”

6.5. Developers/OPRs of automated systems must coordinate with TCCS-IM to ensure all ICR requirements are properly licensed. TCCS-IM will coordinate with AFCA/ITC to determine what data submissions require a report control symbol number. *(NOTE: All output products that collect information for a licensed report must display the appropriate RCS number.)*

6.6. Directorates/CSG must send written notification of superseded or discontinued RCS reports through TCCS-IM to the reporting activities. Update the publication that prescribes the RCS report by issuing a revision or an interim change to reflect the current status of the ICR requirement. Include this information in the “Summary of Revisions” once the publication is rewritten. Submit a copy of the written notification and a draft of the revised publication or interim change to TCCS-IM. TCCS-IM will coordinate with AFCA/ITC. Coordinate with the USTRANSCOM Records Manager (TCCS-IM) to effect disposition of any accumulated records and coordinate on requirement to change any report specific records disposition published in CJCSM 5760.01, Volume II.

6.7. The OPR for the RCS report must revalidate the ICR requirement every 3 years. TCCS-IM will identify any RCS reports that have not been revalidated in 3 years and forward to AFCA/ITC.

6.8. The following types of internal information requirements are exempt:

6.8.1. Substantive intelligence or counterintelligence reports, personnel security reports, and other investigative surveys and reports that relate to safeguarding defense information, protecting DOD functions and property, and handling civil disturbances within the United States and its territories and possessions. *(NOTE: Exception: Statistical and summary reports for management review that do not bear directly on a specific intelligence matter must be licensed.)*

6.8.2. ICR requirements within a base or headquarters that flow laterally on the same level of command. *(NOTE: Exception: Lateral ICR requirements that make it necessary to collect information at subordinate levels must be assigned an RCS number.)*

6.8.3. Information or documentation such as requisitions, material release orders, or supply status notices processed and transmitted within an operational system. *(NOTE: Exception: Summary and evaluation output reports transmitted to higher headquarters must be licensed.)*

6.8.4. Reports of survey and any reports of findings, recommendations, or actions on a specific matter prepared by an official committee, board, survey team, study group, or task force.

6.8.5. Routine comments, concurrences, certifications, authorizations, recommendations, and evaluations for a proposed action, plan, policy, procedure, organization, mission, publication, agenda, or course of action.

6.8.6. Public information releases.

6.8.7. Accounting system source documents and output reports that are justified in accordance with DOD-directed procedures during the accounting system concept and design process.

6.8.8. Reports of audits, reports generated from internal reviews, investigations of charges, complaints, claims, or violations of law or regulation. *(NOTE: Exception: Statistical and summary information required in preparing a published audit report must be licensed. Reports of internal reviews imposed by and transmitted to a higher headquarters must also be licensed.)*

6.8.9. Routine requests for cost estimates for a specific licensed ICR requirement.

6.8.10. Operating documents.

6.8.11. Budget estimates and President's budget exhibits.

6.8.12. A report compiled from information retrievable from the originating organization's own files and not generated solely due to the requirement for the report.

6.9. When an exemption is cited in an implementing publication, use this instruction and appropriate paragraph as the authority for the exemption. *(Example: "The reporting*

requirement in this publication (paragraph, etc.) is exempt from licensing in accordance with USTRANSCOM Instruction 33-39, USTRANSCOM Information Collections and Reports Management.”

6.10. TCCS-IM will assign RCS symbols for USTRANSCOM in accordance with the following procedures, using as an example, USTC-J5(A)0302:

6.10.1. Functional Address of the Requester: USTC-J5.

6.10.2. Report Frequency:

(D)	Daily
(W)	Weekly
(M)	Monthly
(BM)	Bi-Monthly
(Q)	Quarterly
(SA)	Semi-Annually
(A)	Annually
(BE)	Biennially
(AR)	As Required
(OT)	One-Time

6.10.3. Four-digit number. The first two numbers represent the year assigned; the last two represent the sequence of the report.

7. PUBLIC INFORMATION COLLECTIONS: Public Law 105-277, *The Government Paperwork Elimination Act (GPEA)*, Public Law 104-13 and its implementing regulation, Title 5 CFR Part 1320, *Controlling Paperwork Burdens of the Public*, cover the policy for collecting information from the public and attempts to minimize the Federal paperwork burden on the public. The Act applies to all executive departments, military departments, government corporations, government-controlled corporations, other establishments in the Executive Branch of the Federal Government, and all of the Federal Government’s independent regulatory agencies. The Federal Election Commission; all Congressional and Judicial Agencies; the General Accounting Office; Governments of the District of Columbia and territories and possessions of the United States; and Government-owned/contractor-operated facilities and production operations are exempt from licensing public ICR requirements. With input from Directorate/CSG OPRs, TCCS-IM will respond to the annual call for projected Information Collections Budgets (ICBs), RCS: DD-C3I(A)1680, *ICB Annual Plan*, and forward to AFCA/ITC.

7.1. OMB approval is needed to collect information from ten or more members of the public, unless the collection is exempt. OMB licenses a public ICR requirement for 3 years. All public ICR requirements carry an expiration date. An expired public information collection is an illegal collection of information and will be discontinued until proper approval is received.

Directorates/CSG will request OMB approval for public ICR requirements by submitting the following to TCCS-IM. (*NOTE: Allow at least 6 months to process request for OMB approval.*)

7.1.1. Two notices in the Federal Register. The first Federal Register Notice (FRN) must be published at least 60 days before submitting OMB Form 83-I, *Paperwork Reduction Act Submission*. OPR prepares first notice and submits to TCCS-IM, who forwards to AFCA/ITC for publishing. The FRN is the means by which the public is notified of pending ICR requirements. The notice is published in the Federal Register and the public has 60 days from the date of publication to comment. It is typed double-spaced with one-inch margins. Seven notices (original and six copies) are forwarded. (See Attachment 3 for guidelines and sample FRN.)

7.1.2. After the 60-days, OPR will prepare five copies of OMB Form 83-I and forward to TCCS-IM for review. TCCS-IM will forward an original and four copies of the OMB Form 83-I package, including comments from the 60-day notice, to AFCA/ITC. After review, AFCA/ITC will forward the package and the second FRN to the DOD Clearance Officer. The OMB Form 83-I package contains the following:

7.1.2.1. Completed OMB Form 83-I (see Attachment 4 for instructions and sample form). Include at least two key words from the Government Accounting Office (GAO) Thesaurus in Item 9. The GAO Thesaurus is available on the AFCA web page at www.afca.scott.af.mil/corp-info/icr.htm.

7.1.2.2. Supporting Statement. (See Attachment 4 for guidance and sample statements.) (*NOTE: Item 14A of Attachment 3; include only those total capital and start up costs incurred after 1 October 1995. Additionally, incorporate the comments received from the Federal Register announcement and actions taken in this statement. If there are a lot of comments, they can be addressed in a separate paper.*)

7.1.2.3. Copy of the draft instrument of collection. If the instrument of collection is a Information Management Tool (IMT), the Publications and Forms Manager in TCCS-IM will design IMT in Pure Edge application and assign license number. If the instrument of collection is not an IMT, contact TCCS-IM for instructions on how to display OMB control data and Agency Disclosure Notice (ADN). (See Attachment 5 for instructions and sample ADN.)

7.1.2.4. Title page and pertinent section of regulatory or statutory authorities (i.e., first page of instruction and prescribing paragraph).

7.1.2.5. Copy of the FRN.

7.2. Within DOD, the Assistant Secretary of Defense for Command, Control, Communications, and Intelligence (ASD/C3I) may request emergency processing of an ICR requirement under the following circumstances:

7.2.1. When the collection is needed prior to the expiration of time periods established and is essential to the mission of the agency.

7.2.2. When the agency cannot reasonably comply with normal clearance procedures because public harm is reasonably likely to result if normal clearance procedures are followed, an unanticipated event has occurred; or the use of normal clearance procedures is reasonably likely to cause a statutory or court-ordered deadline to be missed.

7.2.3. Public harm would be prevented, if for example, strategies to combat a public health epidemic depend on information in a survey that needs to be fielded immediately. An example of an unanticipated event would be a natural disaster that has led to the need to provide benefits quickly to the victims. The use of emergency clearance procedures is warranted if a new statute is passed that requires implementation of an ICR requirement within clearly shorter time frames called for and specify the time period within which OMB should approve or disapprove of the collection. Control numbers assigned to collections of information approved under the “emergency processing” procedures are not valid for more than 90 days from the date the agency requested approval.

7.3. Send each request for emergency processing to TCCS-IM. Each request must include a justification meeting the following guidelines:

7.3.1. A written determination that the ICR requirement is essential to the mission of the agency and that public harm will result if normal clearance procedures are followed, or that an unanticipated event has occurred that will prevent the collection or cause a statutory or judicial deadline to be missed if normal procedures are followed.

7.3.2. Information indicating the agency has taken all practicable steps to consult with interested agencies and members of the public in order to minimize the burden of the collection.

7.4. OMB has approved certain public ICR requirements requested from Federal contractors. Acquisition-/procurement-related collections will flow through Air Force acquisition channels for licensing when requested in connection with specific sections in the Federal Acquisition Regulation (FAR); the Defense Federal Acquisition Regulation Supplement (DFARS); specific sections of the Air Force FAR Supplement (AFFARS) and subordinate agency clauses to these regulations; and all public data collections necessary to comply with the FAR and AFFARS requirements, not currently approved, and will be processed and approved according to the procedures in paragraph 7.1., if OMB has not previously approved them. The inclusion of a reporting or record-keeping requirement in a contract work statement or any other contractual

provision or exhibit does not fulfill the requirement for an OMB approval or a waiver, as appropriate. RCS numbers assigned to USTRANSCOM internal reports do not authorize the report or related feeder information to be levied as a public ICR requirement upon any “person” or contractor. ICR and record-keeping requirements involving the collection of information from non-Federal agencies, Air Force production or service contractors, or other industrial and commercial companies or manufacturers are subject to a specific prior public reports clearance. Such requirements that are approved are identified by the citation of an OMB approval number or an exemption statement, as appropriate.

7.5. Directorate/CSG OPRs must notify TCCS-IM in writing if they no longer need a public information collection.

7.6. The following information collections are exempt from OMB approval:

7.6.1. Affidavits, oaths, affirmations, certifications, receipts, changes of address, consents, or acknowledgments, provided they entail no burden other than that necessary to identify the respondent (name, address, and identification number). Any of these documents requesting respondents to provide information relating to the information being certified would require OMB approval.

7.6.2. Samples of products or of any other physical objects.

7.6.3. Facts or opinions obtained by direct observation by an employee or agent of USTRANSCOM or in response to non-standardized oral communication in connection with such direct observation.

7.6.4. Facts or opinions submitted in response to general solicitations of comments from the general public.

7.6.5. Information from individuals (including those in control groups) under treatment or clinical examination in connection with research.

7.6.6. Facts or opinions requested from a single person.

7.6.7. Examinations designed to test the aptitude, abilities, or knowledge of the persons tested and the collection of information for identification with such examinations.

7.6.8. Facts or opinions obtained or solicited at or in connection with public hearings or meetings.

7.6.9. Information solicited through non-standard follow-up questions designed to clarify responses to approved collections of information.

7.6.10. Like items so designed by OMB.

7.6.11. Collections of information from Federal employees within the scope of their employment, unless the results will be used for general statistical purposes.

7.6.12. Information collection surveys, in the context of Section 804 of the Fiscal Year 1986 Defense Authorization Act, from members of the Armed Forces serving on active duty, members of their families, and retired members of the Armed Forces. (*NOTE: See AFI 36-2601, Air Force Personnel Survey Program for Air Force guidelines on conducting surveys*).

7.6.13. Information collections addressed to nine or fewer persons.

7.6.14. Collections of information conducted by compulsory process.

7.6.15. Collections of information during the conduct of intelligence activities and during the conduct of cryptanalytic activities that are communications security activities.

7.6.16. Collections of information during the conduct of Federal criminal, civil, or administrative action with respect to a specific party. This exemption is limited and applies only after a case file is opened with respect to a particular party. It does not apply prior to the opening of such file and, therefore, does not apply to complaints or allegations of individuals or other persons that form the basis for the agency's subsequent opening of a case file, even though the file is opened immediately upon receipt of the complaint allegation; general investigations that are not focused on a particular party; and general collections of information about a category of individuals or entities such as a class of licenses or an industry.

8. INTERAGENCY REPORTING REQUIREMENTS: Interagency ICR requirements are those collections USTRANSCOM imposes on other Federal agencies or that another Federal agency imposes on USTRANSCOM. Interagency ICR requirements are approved by the General Services Administration (GSA).

8.1. Directorates/CSG will submit requests to develop, revise, or cancel interagency ICR requirements by submitting to TCCS-IM the following:

8.1.1. The original Standard Form (SF) 360, *Request to Approve an Interagency Reporting Requirement* (Sample at Attachment 7).

8.1.2. A final draft copy of the instrument of collection.

8.1.3. If the instrument of collection is an IMT, TCCS-IM Publications and Forms Manager will design the IMT in Pure Edge and obtain licensing. If the instrument of collection is not an IMT,

write in “IRCN: _____” in the upper right-hand corner and just below that, “Expiration Date: _____.”

8.1.4. Attach a completed AF Form 130, showing the cost estimates.

8.1.5. Agencies responding to an interagency ICR requirement must reply within 30 calendar days to written requests for cost estimates for an existing or proposed interagency collection. Responding agencies must also submit their comments within 30 calendar days on any proposed ICR requirement. Directorates/CSG will not respond to any interagency ICR requirement not approved by GSA and will inform TCCS-IM of the unlicensed requirement.

8.2. The Directorate/CSG OPR will notify through TCCS-IM all respondents in writing when an interagency ICR requirement is no longer needed.

8.3. Legislative Branch requirements in statutes or congressional committee requests, and Judicial Branch requirements in court orders or other judicial determinations are exempt from interagency licensing procedures.

8.4. The following interagency ICR requirements are exempt:

8.4.1. Interagency ICR requirements for security-classified information. (*NOTE: Exception: Do not waive interagency ICR requirements for non-security-classified information, even if the requesting agency assigns a security classification later.*)

8.4.2. Operating documents exchanged between and among Federal agencies.

8.4.3. Presidential requirements in presidential directives.

8.4.4. OMB budgetary, program review and coordination, and legislative-clearance requirements.

MARY E. WILSON
Chief, Information Management

7 Attachments

1. Glossary of References, Abbreviations, Acronyms, and Terms
2. Sample Air Force Form 130
3. Sample Federal Register Notice w/Guidelines
4. Sample OMB Form 83-1 w/Instructions
5. Sample Supporting Statement w/Guidelines

6. Sample Agency Disclosure Notice w/Instructions
7. Sample Standard Form 360

Attachment 1

GLOSSARY OF REFERENCES, ABBREVIATIONS, ACRONYMS, AND TERMS

References

Executive Order 12333, United States Intelligence Activities

Title 5, United States Code, Section 552a, The Privacy Act of 1974, as amended.

Title 5, United States Code, Section 552, Freedom of Information Act, as amended.

Title 5, Code of Federal Regulations, 1320, Controlling Paperwork Burdens of the Public.

41 Code of Federal Regulation 101-11.204, Interagency Reports Management Program

44 United States Code 3502, Public Printing and Documents, "Coordination of Federal Information Policy."

Title 44, United States Code, Section 21, National Archives and Records Administration.

Title 44, United States Code, Section 29, Records Management by the Archivist of the United States and by the Administrator of General Services.

Title 44, United States Code, Section 31, Records Management by Federal Agencies.

Title 44, United States Code, Section 33, Disposal of Records.

Public Law 96-511, The Paperwork Reduction Act of 1980 (amended by Public Law 104-13, Paperwork Reduction Act of 1995).

Public Law 105-277, The Government Paperwork Elimination Act (GPEA)

Fiscal Year 1986 Defense Authorization Act.

Air Force Federal Acquisition Regulation Supplement (AFFARS).

Antitrust Civil Process Act (also known as the Clayton Act).

Defense Federal Acquisition Regulation Supplement (DFARS).

Federal Acquisition Regulation (FAR)

Federal Trade Commission Improvements Act of 1980.

AFCA/ITC	Air Force Communications Command, Directorate of Chief Information Officer Support, Corporate Information
AFFARS	Air Force FAR Supplement
AFI	Air Force Instruction
AFMAN	Air Force Manual
AFPD	Air Force Policy Directive
ASD (C3I)	Office of the Assistant Secretary of Defense for Command, Control, Communications and Intelligence
CFR	Code of Federal Regulations
CIO	Chief Information Officer
CJCSM	Chairman Joint Chiefs of Staff Manual
CSG	Command Support Group
DFARS	Defense Federal Acquisition Regulation Supplement
DOD	Department of Defense
DODD	Department of Defense Directive
ESC	Emergency Status Code
FAR	Federal Acquisition Regulation
FRN	Federal Register Notice
GAO	Government Accounting Office
GSA	General Services Administration
ICB	Information Collection Budget
ICR	Information Collections and Reports
IMCO	Information Management Control Officer

Fiscal Year 1986 Defense Authorization Act, Section 804, "Surveys of Military Families."

General Accounting Office (GAO) Thesaurus (Legal Rights).

Allied Communications Pamphlet 121/USSUP 1, Communications Instructions-General.

Chairman Joint Chiefs of Staff Manual 5760.01, Joint Staff and Combatant Command Records Management Manual, Volume I—Procedures, Volume II—Disposition Schedule.

Department of Defense Manual 5000.12, DOD Manual for Standard Data Elements.

Department of Defense Directive 5400.7, DOD Freedom of Information Act Program.

Department of Defense Directive 5400.11, DOD Privacy Act Program.

Department of Defense Regulation 5400.11, Privacy Program.

Department of Defense Directive 7000.14-R, Volumes 2A and 2B, Department of Defense Financial Management Regulations, Budget Formulation and Presentation.

Department of Defense Directive 8910.1, Management and Control of Information Requirements.

Department of Defense Manual 8910.1, DOD Procedures for Management of Information Requirements.

United States Transportation Command Instruction 33-35, Privacy Act Program.

Air Force Instruction 36-2601, Air Force Personnel Survey Program.

Air Force Instruction 33-110, Data Administration Program.

Air Force Instruction 33-112, Computer Systems Management.

Air Force Instruction 33-324, The Information Collections and Reports Management Program (ICR Program); Controlling Internal, Public, and Inter-Agency Air Force Information Collections.

Air Force Instruction 36-2601, Air Force Personnel Survey Program.

Abbreviations and Acronyms

ADN	Agency Disclosure Notice
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AF	Air Force
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IRCN	Interagency Report Control Number
OF	Optional Form
OMB	Office of Management and Budget
OPR	Office of Primary Responsibility
RCS	Report Control Symbol
ROTC	Reserve Officer Training Corps
SF	Standard Form
TCCS-IM	United States Transportation Command, Chief of Staff - Information Management
TCCS-IMR	United States Transportation Command, Chief of Staff- Information Management, Information Management Communications and Records Management
USAFMS	United States Air Force Museum System
U.S.C.	United States Code
USTRANSCOM	United States Transportation Command
WHS	Washington Headquarters Services
WWW	World Wide Web

Terms

Agency Disclosure Notice (ADN). The ADN is a statement used for public information collections. It is put on the instrument of collection as close to the current Office of Management and Budget (OMB) control number as practicable. It is the agency's disclosure of the estimated average burden hours per response and a request that the public direct any comments concerning the accuracy of this burden estimate and any suggestions for reducing this burden to the agency and to OMB's Office of Information and Regulatory Affairs.

Controlled Report. A report that has undergone a review, undergone the approval process, and has been assigned a report control symbol.

Cost. The expenditure of man-hours, materials, equipment, and other resources used in reporting. Includes developmental, operational, and user costs.

Cost/Benefit Analysis. A process for determining reporting costs and benefits, which can be expressed either quantitatively (in dollars) or qualitatively (in terms of effectiveness).

Current Federal Employees and Military Personnel. Current employees of the Federal Government and military personnel, if the collection of information is addressed to them in their capacity as individual private citizens (e.g., they file income tax returns, census forms, or other survey, or administrative forms in the same manner as persons not currently employed by the Federal Government or serving in the Armed Forces). *(NOTE: Exception: Current employees of the Federal Government, military personnel, military reservists, and members of the National Guard are not considered members of the public when they are asked to provide information that falls within the scope of their employment and when asked for information about their duty status.)*

Direct Cost. Any cost that is specifically linked to the production, processing, maintenance, and use of a particular report.

External Report. Any report that is required by an agency or organization other than the responding agency and that is outside the control of the responding agency (Congressional, Judicial, Executive, Office of Management and Budget (OMB), interagency, private organization, state, or local government).

Federal Agency. Any executive agency or any establishment in the legislative or judicial branch of the Federal Government (except the Senate, the House of Representatives, and the Architect of the Capital and activities under the Architect's direction).

Federal Information Resources Management Regulation (FIRMR). The regulation that provides government-wide policies and procedures for management, acquisition, and use of information resources, including automatic data processing (ADP), telecommunications, and records management.

Indirect Cost. Any cost incurred for joint operations that cannot be identified with a single report. Includes overhead and other fixed costs of resources.

Information Collection Budget (ICB). The Federal Government's projected burden on the public for new requirements to collect information. It is the estimated response time (direct and indirect) for the public to collect, record, and submit information to the Federal Government. Each year OMB issues a "budget call" for the Federal Government's Information Collection Budget.

Interagency Information Collection/Reporting Requirement. Data or information transmitted between or among Federal agencies for use in determining policy; planning, controlling, and evaluating operations and performance; making administrative determinations;

or preparing other reports. The data or information may be displayed in any media and is subject to review and clearance by General Services Administration.

Interagency Report Control Number (IRCEN). A standard interagency designation (control number) for a report consisting of letters or numbers indicating that the report has been reviewed and approved in accordance with General Services Administration directed procedures.

Internal Information Collection/Reporting Requirement. Data or information collected by one or more organizational components and transmitted to other organizational components for management purposes. The collections required for management purposes pertain to policy; planning, controlling, and evaluating operations and performance; making administrative determinations; and preparing other reports. It is status, summary, or statistical information in both electronic and manual information systems.

Members of the Public or Person. Members of the public (or the term "person") include individuals, partnerships, associations, corporations (including government-owned, contractor operated facilities), business trusts, legal representatives, and organized group of individuals, state, territory, or local government. As to particular categories of "person," OMB has determined: (1) Retired Federal Employees and Military Personnel on Inactive Status: The definition of "person" includes retired and other former Federal civilian employees. It includes retired and inactive military personnel, reservists and members of the National Guard unless you require information about their duty status. (2) Reserve Officer Training Corps (ROTC): ROTC cadets are considered employees of the United States for purposes when providing information to instructors during classroom and other training activities. ROTC cadets under contract may be asked to provide further information, as employees of the United States, provided that the information they give remains entirely within the scope of their employment. *(NOTE: The FY 1986 Defense Authorization Act, Section 804, states that the Secretary of Defense may conduct surveys of members of the Armed Forces serving on active duty, families of such members, and retired members of the Armed Forces to determine the effectiveness of existing Federal programs relating to military families and the need for new programs. In this context, consider them to be employees of the United States and not members of the public.)*

MINIMIZE. A procedure used during periods of crisis or other abnormal periods to reduce the volume of record and long distance telephone traffic ordinarily transmitted electrically. MINIMIZE applies to all users of DOD communications systems. When MINIMIZE is imposed, users of DOD electrical communications must determine that: The information to be sent is required to avoid a seriously detrimental impact on mission accomplishment or safety of life; electrical transmission is the only way to get the information to the addressee in sufficient time to accomplish the purpose.

Office of Management and Budget (OMB) Control Number. A standard OMB designation (control number) for a report consisting of letters or numbers indicating that the report has been reviewed and approved in accordance with OMB directed procedures.

Operating Document. A completed form or other document used to facilitate, accomplish, or provide a description or record of a transaction, function, or event. The information in an operating document may provide data or input for a report, but that is not its primary purpose. Examples of operating documents include application forms, purchase orders, personnel actions, bills of lading, payrolls and time sheets, inspection or audit reports, and reports that involve direct command and control of military forces or cryptological activities related to national security.

Public Burden or Burden Hours. The total time, effort, or financial resources required to respond to a collection of information, including the time it takes to read or hear instructions; to develop, modify, construct, or assemble any materials or equipment; to conduct tests, inspections, polls, observations, or the like necessary to obtain the information; to organize the information into the requested format; to review its accuracy and the appropriateness of its manner of presentation; and to maintain, disclose, or report the information.

Public Information Collection/Reporting Requirement. Those collections that require responses from the public. The Act defines a collection of information to be: "The obtaining or soliciting of facts or opinions by an agency through the use of written report forms, application forms, schedules, questionnaires, reporting or recordkeeping requirements, or other similar methods calling for either: (1) Answers to identical questions posed to, or identical reporting or recordkeeping requirements imposed on, ten or more persons, other than agencies, instrumentalities, or employees of the United States; or (2) Answers to questions posed to agencies, instrumentalities, or employees of the United States which are to be used for general statistical purposes." This includes information collections that are mandatory, voluntary, or required to obtain a benefit.

Public Protection Clause. Regardless of any other provision of law, no person can be penalized for failure to comply with any collection of information that does not display a currently valid OMB control number; or, in the case of information required by law or to obtain a benefit that is submitted to nine or fewer persons, fail to state that it is not subject to OMB review under The Act. If an agency has imposed a collection of information as a means to satisfy or prove a condition for receiving a benefit, or to prevent a penalty, and the information collection does not display a currently valid OMB control number, the agency won't treat a person's failure to comply as grounds for withholding the benefit or imposing the penalty. The agency shall instead permit respondents to prove or satisfy the legal conditions in any other reasonable manner.

Report Control Symbol (RCS). A standard agency designation (control number) for a report consisting of letters or numbers indicating that the report has been reviewed and approved in accordance with Department of Defense directed procedures.

Revised Report. An established report that is changed in any way, such as in format, content, definition, instruction, reporting procedure, preparing organization, frequency, scheduling, or routing.

The Act. The Paperwork Reduction Act.

Unauthorized Report. A report that has not been reviewed and approved by a reports control office and that has not been assigned a report control symbol.

Attachment 2

APPLICATION FOR A REPORT CONTROL SYMBOL (RCS) <i>(Read Instructions on Page 4 before completing this form.)</i>		<input checked="" type="checkbox"/> NEW <input type="checkbox"/> REVISED	1. RCS: <i>(Leave blank)</i>
2. TITLE OF REPORT Computer Report		3. DATE REPORT EXPIRES <i>(YYYY MM DD. One time report only)</i>	
		4. RCS REPORT(S) SUPERSEDED N/A	
6. PRESCRIBING DIRECTIVE/POLICY LTR/MESSAGE NO. AFI 37-162, Printing, Duplicating, and Copying Management		5. FORM NUMBER(S) ASSOCIATED WITH REPORT N/A	
8. ACTIVITY REQUESTING REPORT USTRANSCOM Office of Information Management		7. ACTIVITIES REQUIRED TO SUBMIT THIS REPORT USTRANSCOM/Directorates/CSGs	
9. REPORT FREQUENCY <input checked="" type="checkbox"/> ANNUALLY <input type="checkbox"/> QUARTERLY <input type="checkbox"/> MONTHLY <input type="checkbox"/> OTHER <i>(Specify)</i>		10. PERIOD COVERED OR AS OF DATE(S) 1 January - 31 December	
		11. DUE DATE(S) <i>(YYYY MM DD)</i> 10th working day of calendar year	
12. EMERGENCY STATUS CODE <i>(Check one.)</i> <input type="checkbox"/> C-1 <input type="checkbox"/> C-2 <input checked="" type="checkbox"/> C-3 <input type="checkbox"/> D		13. IS REPORT SUBJECT TO MINIMIZE? <input type="checkbox"/> YES <input type="checkbox"/> NO <input checked="" type="checkbox"/> N/A	
		14. IS REPORT ENTERED INTO AN ADP SYSTEM? <input checked="" type="checkbox"/> NO <input type="checkbox"/> YES <i>(List name and location of system(s).)</i>	
15. TOTAL MAN HOURS TO PREPARE AND SUBMIT THIS REPORT AIR FORCE-WIDE <i>(Item 13 - Page 2)</i> 20.00		16. TOTAL COST TO PREPARE AND SUBMIT THIS REPORT AIR FORCE-WIDE <i>(Item J3-Page 2)</i> \$420.00	
17. DESCRIPTION OF DATA REPORTED <i>(See instructions on Page 4)</i> Number of copies produced, number of bad copies, service calls, downtime, and service call problem areas reported on an annual basis provided by each Directorate/CSG that has responsibility for a Konica copy machine.			
18. POINT OF CONTACT NAME, GRADE, TITLE JANE SMITH, MSgt, USAF Chief, Reprographics			
OFFICE SYMBOL AND MAILING ADDRESS <i>(Include Street, City, State and Zip code)</i> USTRANSCOM/TCCS-IMR 508 Scott Drive Scott AFB IL 62225-5357		TELEPHONE NOS. <i>(DSN/Commercial)</i> 779-3828 229-3828	
19. FUNCTIONAL APPROVAL AUTHORITY <i>(See Instructions on Page 4)</i>			
TYPED NAME, GRADE, TITLE AND SIGNATURE MARY JONES, GS-12 Chief, Information Management		OFFICE SYMBOL AND MAILING ADDRESS <i>(Include Street, City, State and Zip code)</i> USTRANSCOM/TCCS-IM 508 Scott Drive Scott AFB IL 62225-5357	
		DATE <i>(YYYY MM DD)</i>	TELEPHONE NOS. <i>(DSN/Commercial)</i> 779-3828 229-3828
20. LICENSED BY AF IMCO OR MAJCOM, DRU, OR FOA ICR MANAGER			
TYPED NAME, GRADE, TITLE AND SIGNATURE		OFFICE SYMBOL AND MAILING ADDRESS <i>(Include Street, City, State and Zip code)</i>	
		DATE <i>(YYYY MM DD)</i>	TELEPHONE NOS. <i>(DSN/Commercial)</i>

COST ESTIMATING WORKSHEET

(Use this worksheet for calculating manhours and costs to prepare and submit this report. Use the hourly rates listed on page 3).

MAJCOM COSTS TO PREPARE AND SUBMIT REPORT *(See Note below.)*

PAY GRADE (A1)	HOURLY RATE (B1)	NO. OF MANHOURS SPENT (.25 = 15 MINS. .50 = 30 MINS. .75 = 45 MINS) (C1)	TOTAL COSTS BY PAY GRADE (D1)
GS-12	\$32	0.50	\$16.00
GS-11	\$24	2.50	\$60.00
GS-04	\$13	1.00	\$13.00
		TOTAL MANHOURS SPENT FOR ONE REPORT (E1)	TOTAL PERSONNEL COSTS FOR ONE REPORT (F1)
		4.00	\$89.00
NOTE: Item E1 - Total Column C1 Item F1 - Total Column D1 Item I1 - Item E1 x Item G1 x Item H1 Item J1 - Item F1 x Item G1 x Item H1		NUMBER OF COMMANDS REQUIRED TO SUBMIT REPORT (G1)	TOTAL MANHOURS SPENT TO PREPARE & SUBMIT REPORT ANNUALLY (H1)
		4	1
			TOTAL COST TO PREPARE AND SUBMIT REPORT ANNUALLY (J1)
			\$356.00

SAMPLE

FIELD UNIT COSTS TO PREPARE AND SUBMIT REPORT *(See Note below.)*

PAY GRADE (A2)	HOURLY RATE (B2)	NO. OF MANHOURS SPENT (.25 = 15 MINS. .50 = 30 MINS. .75 = 45 MINS) (C2)	TOTAL COSTS BY PAY GRADE (D2)
GS-05	\$15	0.50	\$7.50
GS-06	\$16	0.50	\$8.00
E-04	\$15	0.50	\$7.50
E-05	\$18	0.50	\$9.00
		TOTAL MANHOURS SPENT FOR ONE REPORT (E2)	TOTAL PERSONNEL COSTS FOR ONE REPORT (F2)
		2.00	\$32.00
NOTE: Item E2 - Total Column C2 Item F2 - Total Column D2 Item I2 - Item E2 x Item G2 x Item H2 Item J2 - Item F2 x Item G2 x Item H2		NUMBER OF FIELD UNITS REQUIRED TO SUBMIT REPORT (G2)	TOTAL MANHOURS SPENT TO PREPARE & SUBMIT REPORT ANNUALLY (H2)
		2	1
			TOTAL COST TO PREPARE AND SUBMIT REPORT ANNUALLY (J2)
			\$64.00

TOTAL MANHOURS AND PERSONNEL COSTS TO PREPARE AND SUBMIT REPORT AIR FORCE-WIDE

NOTE: Item I3 - Item I1 + I2 Item J3 - Item J1 + Item J2	TOTAL MANHOURS TO PREPARE AND SUBMIT REPORT ANNUALLY FOR THE AIR FORCE (I3)	TOTAL COST TO PREPARE AND SUBMIT REPORT ANNUALLY FOR THE AIR FORCE (J3)
	20.00	\$420.00

SAMPLE COMPUTATION

PAY GRADE (A)	HOURLY RATE (B)	NO. OF MANHOURS SPENT (.25 = 15 MINS. .50 = 30 MINS. .75 = 45 MINS) (C)	TOTAL COSTS BY PAY GRADE (D)
O-02 (Note 1)	\$23	.25	\$5.75
E-06 (Note 2)	\$21	3	\$21.00
GS-04 (Note 3)	\$13	1	\$21.00

Note 1: Reviews and signs report.
Note 2: Collects required information, prepares chart, and writes report.
Note 3: Types and mails report.

1996-1998 HOURLY PERSONNEL COSTS

SAMPLE

GS-01	\$8	E-01	\$9
GS-02	\$10	E-02	\$11
GS-03	\$11	E-03	\$12
GS-04	\$13	E-04	\$15
GS-05	\$15	E-05	\$18
GS-06	\$16	E-06	\$21
GS-07	\$18	E-07	\$24
GS-08	\$20	E-08	\$28
GS-09	\$22	E-09	\$33
GS-10	\$24		
GS-11	\$26	O-01	\$18
GS-12	\$32	O-02	\$23
GS/GM-13	\$38	O-03	\$35
GS/GM-14	\$45	O-04	\$43
GS/GM-15	\$54	O-05	\$50
SES-01	\$60	O-06	\$58
SES-02	\$63	O-07	\$62
SES-03	\$66	O-08	\$71
SES-04	\$70	O-09	\$78
SES-05	\$72	O-10	\$86
SES-06	\$75		

INSTRUCTIONS

See AFI 37-124, *The Information Collections and Reports (ICR) Management Program; Controlling Internal, Public, and Interagency Air Force Information Collections*, for further information regarding information collections and reports. Contact your component ICR Manager for assistance.

GENERAL: Submit completed Pages 1 and 2 of the form to the AF IMCO or your component ICR Manager. Attach a copy of the title page and pertinent section of the prescribing directive; the policy letter or message; and a copy of any forms used to collect the information.

TERMS:

AF IMCO - Air Force Information Management Control Officer

ICR MANAGER - Information Collections and Reports Manager

MINIMIZE - A condition wherein normal message and telephone traffic is drastically reduced in order that messages connected with an actual or simulated emergency shall not be delayed.

ITEM 1. RCS - Leave this block blank. This number will be assigned/reassigned by the AF IMCO or component ICR Manager.

ITEM 3. DATE REPORT EXPIRES - Fill in an expiration date for a one-time report only. **ALL REPORTS EXPIRE AFTER 3 YEARS UNLESS REVALIDATED.**

ITEM 4. RCS REPORT(S) SUPERSEDED - Annotate the number(s) of RCS report(s) that are being replaced by this report (if any). If you are revalidating a current report, annotate the current report number in this block.

ITEM 5. FORM NUMBERS ASSOCIATED WITH REPORT - List any forms used to collect the information required by this report.

ITEM 6. PRESCRIBING DIRECTIVE/POLICY LETTER/MESSAGE - All RCS reports must be prescribed in a directive. One-time reports can be prescribed in a policy letter or message.

ITEM 9. REPORT FREQUENCY - Mark appropriate block or list one of the following: Daily, Weekly, Bi-Monthly, Semiannually, Biennially, As Required, or One-Time.

ITEM 12. EMERGENCY STATUS CODE (ESC) - ESCs are assigned by the OPR generating the report and are used to guide reporting procedures during emergency and crisis conditions. The ESC should reflect the need for the report during conditions that are sufficiently degraded to hinder the collection of the data. The following are the codes and their definitions. **C-1** - Continue reporting during emergency conditions, priority precedence. Submit data requirements assigned this category as prescribed or by any means to ensure arrival on the established due dates.

C-2 - Continue reporting during

emergency conditions, normal precedence. Submit data requirements in this category as prescribed, or as soon as possible after submission of priority reports. **C-3** - Continue reporting, delayed precedence. Submit data requirements as prescribed, but they may be delayed to allow the submission of higher precedence reports. Submit by non-electronic means, if possible. **D** - Immediately discontinue reporting data requirements during emergency conditions.

ITEM 13. IS REPORT SUBJECT TO MINIMIZE - OPRs generating a report that is sent by message must consider reporting procedures during MINIMIZE. Mark YES to continue reporting during MINIMIZE. Mark NO to discontinue reporting during MINIMIZE. Mark N/A if this report is not affected by MINIMIZE.

ITEM 17. DESCRIPTION OF DATA REPORTED - This information should reflect a clear and concise summary of the data to be reported.

ITEM 19. FUNCTIONAL APPROVAL AUTHORITY - Signed by the individual (DIVISION CHIEF OR ABOVE) who determines the collection to be justified based on an evaluation of the perceived value of the reporting requirement in relation to the burden imposed on the Air Force. **EXCEPTION:** DIRECTOR OR ABOVE MUST SIGN FOR REPORTS PROJECTING ASSOCIATED COSTS OF \$250k TO \$500k. DEPUTY CHIEF OF STAFF OR EQUIVALENT MUST SIGN FOR REPORTS THAT ARE COLLECTED ON A WEEKLY OR DAILY BASIS AND/OR GENERATE ASSOCIATED COSTS OVER \$500k.

PAGE 2. COST ESTIMATING WORKSHEET - These tables will calculate electronically (*using PerFORM PRO or FORMFLOW filler*) after you select the grade and enter the number of hours. It will automatically transfer the total manhours and costs to Item 15 and 16 on Page 1. If done manually, transfer the manhour and cost totals from Items 13 and J3 to Items 15 and 16. The wage table is on Page 3.

FEDERAL REGISTER NOTICE (FRN) GUIDELINES

1. Type double-spaced, with one inch margins.
2. Original and six copies are forwarded with the Standard Form (SF) 83 package.
3. The following items shall be part of the FRN:
 - 3.1. REASON FOR THIS NOTICE: Identifies that it is a public information collection.
 - 3.2. TITLE, APPLICABLE FORMS, AND OFFICE OF MANAGEMENT AND BUDGET (OMB) CONTROL NUMBER: Information collection title, form numbers, and OMB control number, if applicable.
 - 3.3. TYPE OF REQUEST: New, Revision, Extension, Reinstatement, or Existing Collection in Use Without an OMB control number. (See Attachment 9, paragraphs 10 - 10.5. for definitions of these terms.
 - 3.4. ANNUAL BURDEN HOURS: (See SF 83, Item 19.)
 - 3.5. ANNUAL RESPONSES: (See SF 83, Item 17.)
 - 3.6. NEEDS AND USES: Describe needs, uses, and affected public in 50 words or less. (See SF 83, Item 13.)
 - 3.7. AFFECTED PUBLIC: Affected public, individual, state, local governments, farms, businesses, Federal agencies or employees, non-profit institutions. (See SF 83, Item 6.)
 - 3.8. FREQUENCY: Frequency of recordkeeping or reporting, such as on occasion, weekly, monthly, quarterly, semiannual, annual, biennially, and other. (See SF 83, Item 23.)
 - 3.9. RESPONDENT'S OBLIGATION: Respondent's obligation to comply, such as voluntary, mandatory, or required to obtain or retain a benefit. (See SF 83, Item 24.)
 - 3.10. OMB DESK OFFICER: Gives the public the name and address of the OMB person who will receive their written comments and recommendations.
 - 3.11. DEPARTMENT OF DEFENSE CLEARANCE OFFICER: Gives the public the name, address, and telephone number of the person to contact to obtain a complete copy of the information collection proposal.

SAMPLE FEDERAL REGISTER NOTICE

DEPARTMENT OF DEFENSE

Department of the Air Force

Proposed Collection; Comment Request

AGENCY: *(Text example: Office of the Assistant Secretary of Defense for Health Affairs)*

ACTION: Notice

In compliance with Section 3506(c)(2)(A) of the Paperwork Reduction Act of 1995, the Office of the Assistant Secretary of Defense for Health Affairs announces the proposed reinstatement of a public information collection and seeks public comment on the provisions thereof. Comments are invited on: (a) whether the proposed collection of information is necessary for the proper performance of the functions of the agency, including whether the information shall have practical utility; (b) the accuracy of the agency's estimate of the burden of the proposed information collection; (c) ways to enhance the quality, utility, and clarity of the information to be collected; and (d) ways to minimize the burden of the information collection on respondents, including through the use of automated collection techniques or other forms of information technology.

DATES: Consideration will be given to all comments received by [insert (60 days from publication of this notice in the Federal Register)]. *(Type this entry exactly as written. The Federal Register Office will calculate and insert the correct date.)*

ADDRESSES: Written comments and recommendations on the proposed information collection should be sent to *(Text example: the Office of the Civilian Health and Medical program of the Uniformed Services (OCHAMPUS), Fitzsimmons Army Medical Center, Office of Appeals and Hearings, ATTN: Mr. Don Wagner, Aurora CO 80045-6900.)*

FOR FURTHER INFORMATION CONTACT: To request more information on this proposed information collection or to obtain a copy of the proposal and associated collection instruments, please write to the above address, or call *(Text example: OCHAMPUS, Office of Appeals and Hearings, at (303) 361-1329.)*

TITLE, ASSOCIATED FORM, and OMB NUMBER: *(Text example: Professional Qualifications, Medical and Peer Reviewers, CHAMPUS Form 780, OMB Number 0720-0005.)*

NEEDS AND USES: The information collection requirement is necessary *(Text example: To obtain and record the professional qualifications of medical and peer reviewers utilized with CHAMPUS. The form is included as an exhibit in an appeal or hearing case file as evidence of the reviewer's professional qualifications to review the medical documentation contained in the case file.)*

AFFECTED PUBLIC: *(Text example: Businesses or others for profit; small businesses or organizations.)*

ANNUAL BURDEN HOURS: (*Text example:* 15.)

NUMBER OF RESPONDENTS: (*Text example:* 60.)

RESPONSES PER RESPONDENT: (*Text example:* 1.)

AVERAGE BURDEN PER RESPONSE: (*Text example:* 15 minutes.)

FREQUENCY: (*Text example:* On occasion.)

SUPPLEMENTARY INFORMATION:

Summary of Information Collection

(*Text example:* Respondents are medical professionals who provide medical and peer review of cases appealed to the Office of Appeals and Hearing, OCHAMPUS. CHAMPUS Form 780 records the professional qualifications of the medical or peer reviewer. The completed form is included as an exhibit in the appeal or hearing case file, and documents for anyone reviewing the file the professional qualifications of the medical professional that reviewed the case. If the form is not included in the case file, individuals reviewing the file cannot be readily assured of the qualifications of the reviewing medical professional. Having qualified professionals provide medical and peer review is essential in maintaining the integrity of the appeal and hearing process.)

INSTRUCTIONS FOR REQUESTING OMB REVIEW UNDER THE PAPERWORK REDUCTION ACT

Please answer all questions and have the Senior Official or designee sign the form. These instructions should be used in conjunction with 5 CFR 1320, which provides information on coverage, definitions, and other matters of procedure and interpretation under the Paperwork Reduction Act of 1995.

1. Agency/Subagency Originating Request

Provide the name of the agency or subagency originating the request. For most Cabinet-level agencies, a subagency designation is also necessary. For non-Cabinet agencies, the subagency designation is generally unnecessary.

2. OMB Control Number

a. If the information collection in this request has previously received or now has an OMB control or comment number, enter the number.

b. Mark "None" if the information collection in this request has not previously received an OMB control number. Enter the four digit agency code for your agency.

3. Type of Information Collection (X one)

a. Mark "New collection" when the collection has not previously been used or sponsored by the agency.

b. Mark "Revision" when the collection is currently approved by OMB, and the agency request includes a material change to the collection instrument, instructions, its frequency of collection, or the use to which the information is to be put.

c. Mark "Extension" when the collection is currently approved by OMB and the agency wishes only to extend the approval past the current expiration date without making any other material change in the collection instrument, instructions, its frequency of collection, or the use to which the information is to be put.

d. Mark "Reinstatement without change" when the collection previously had OMB approval, but the approval has expired or was withdrawn before this submission was made, and there is no change to the collection.

e. Mark "Reinstatement with change" when the collection previously had OMB approval, but the approval has expired or was withdrawn before this submission was made, and there is change to the collection.

f. Mark "Existing collection in use without OMB control number" when the collection is currently in use but does not have a currently valid OMB control number.

4. Type of Review Requested (X one)

a. Mark "Regular" when the collection is submitted under 5 CFR 1320.10, 1320.11, or 1320.12 with a standard 60 day review schedule.

b. Mark "Emergency" when the agency is submitting the request under 5 CFR 1320.13 for emergency processing and provides the required supporting material. Provide the date by which the agency requests approval.

c. Mark "Delegated" when the agency is submitting the collection under the conditions OMB has granted the agency delegated authority.

5. Small Entities

Indicate whether this information collection will have a significant impact on a substantial number of small entities. A small entity may be (1) a small business which is deemed to be one that is independently owned and operated and that is not dominant in its field of operation; (2) a small organization that is any not-for-profit enterprise that is independently owned and operated and is not dominant in its field; or (3) a small government jurisdiction which is a government of a city, county, town, township, school district, or special district with a population of less than 50,000.

6. Requested Expiration Date

a. Mark "Three years" if the agency requests a three year approval for the collection.

b. Mark "Other" if the agency requests approval for less than three years. Specify the month and year of the requested expiration date.

7. Title

Provide the official title of the information collection. If an official title does not exist, provide a description which will distinguish this collection from others.

8. Agency Form Number(s) (If applicable)

Provide any form number the agency has assigned to this collection of information. Separate each form number with a comma.

9. Keywords

Select and list at least two keywords (descriptors) from the "Federal Register Thesaurus of Indexing Terms" that describe the subject area(s) of the information collection. Other terms may be used but should be listed after those selected from the thesaurus. Separate keywords with commas. Keywords should not exceed two lines of text.

10. Abstract

Provide a statement, limited to five lines of text, covering the agency's need for the information, uses to which it will be put, and a brief description of the respondents.

11. Affected Public

Mark all categories that apply, denoting the primary public with a "P" and all others that apply with "X."

12. Obligation to Respond

Mark all categories that apply, denoting the primary obligation with a "P" and all others that apply with "X."

a. Mark "Voluntary" when the response is entirely discretionary and has no direct effect on any benefit or privilege for the respondent.

b. Mark "Required to obtain or retain benefits" when the response is elective, but is required to obtain or retain a benefit.

c. Mark "Mandatory" when the respondent must reply or face civil or criminal sanctions.

13. Annual Reporting and Recordkeeping Hour Burden

a. Enter the number of respondents and/or recordkeepers. If a respondent is also a recordkeeper, report the respondent only once.

b. Enter the number of responses provided annually. For recordkeeping as compared to reporting activity, the number of responses equals the number of recordkeepers.

(1) Enter the estimated percentage of responses that will be submitted/collected electronically using magnetic media (i.e., diskette), electronic mail, or electronic data interchange. Facsimile is NOT considered an electronic submission.

c. Enter the total annual recordkeeping and reporting hour burden.

d. Enter the burden hours currently approved by OMB for this collection of information. Enter zero (0) for any new submission or for any collection whose OMB approval has expired.

e. Enter the difference by subtracting line d from line c. Record a negative number (d larger than c) within parentheses.

f. Explain the difference. The difference in line e must be accounted for in lines f.(1) and f.(2).

(1). "Program change" is the result of deliberate Federal government action. All new collections and any subsequent revision of existing collections (e.g. the addition or deletion of questions) are recorded as program changes.

(2). "Adjustment" is a change that is not the result of a deliberate Federal government action. Changes resulting from new estimates or actions not controllable by the Federal government are recorded as adjustments.

14. Annual Reporting and Recordkeeping Cost Burden (In thousands of dollars)

The costs identified in this item must exclude the cost of hour burden identified in Item 13.

a. Enter total dollar amount of annualized cost for all respondents of any associated capital or start-up costs.

b. Enter recurring annual dollar amount of cost for all respondents associated with operating or maintaining systems or purchasing services.

c. Enter total (14.a. + 14.b.) annual reporting and recordkeeping cost burden.

**INSTRUCTIONS FOR REQUESTING OMB REVIEW UNDER THE
PAPERWORK REDUCTION ACT (Continued)**

14. (Continued)

d. Enter any cost burden currently approved by OMB for this collection of information. Enter zero (0) if this is the first submission after October 1, 1995.

e. Enter the difference by subtracting line d from line c. Record a negative number (d larger than c) within parentheses.

f. Explain the difference. The difference in line e must be accounted for in lines f.(1) and f.(2).

(1) "Program change" is the result of deliberate Federal government action. All new collections and any subsequent revisions or changes resulting in cost changes are recorded as program changes.

(2) "Adjustment" is a change that is not the result of a deliberate Federal government action. Changes resulting from new estimations or actions not controllable by the Federal government are recorded as adjustments.

15. Purpose of Information Collection

Mark all categories that apply, denoting the primary purpose with a "P" and all others that apply with "X."

a. Mark "Application for benefits" when the purpose is to participate in, receive, or qualify for a grant, financial assistance, etc., from a Federal agency or program.

b. Mark "Program evaluation" when the purpose is a formal assessment, through objective measures and systematic analysis, of the manner and extent to which Federal programs achieve their objectives or produce other significant effects.

c. Mark "General purpose statistics" when the data is collected chiefly for use by the public or for general Government use without primary reference to the policy or program operations of the agency collecting the data.

d. Mark "Audit" when the purpose is to verify the accuracy of accounts and records.

e. Mark "Program planning or management" when the purpose relates to progress reporting, financial reporting and grants management, procurement and quality control, or other administrative information that does not fit into any other category.

f. Mark "Research" when the purpose is to further the course of research, rather than for a specific program purpose.

g. Mark "Regulatory or compliance" when the purpose is to measure compliance with laws or regulations.

16. Frequency of Recordkeeping or Reporting

Mark "Recordkeeping" if the collection of information explicitly includes a recordkeeping requirement.

Mark "Third party disclosure" if a collection of information includes third-party disclosure requirements as defined by 1320.3(c).

Mark "Reporting" for information collections that involve reporting and check the frequency of reporting that is requested or required of a respondent. If the reporting is on "an event" basis, mark "On Occasion".

17. Statistical Methods

Mark "Yes" if the information collection uses statistical methods such as sampling or imputation. Generally, mark "No" for applications and audits (unless a random auditing scheme is used). Mark "Yes" for statistical collections, most research collections, and program evaluations using scientific methods. For other types of data collections, the use of sampling, imputation, or other statistical estimation techniques should dictate the response for this item. Ensure that supporting documentation is provided in accordance with Section B of the Supporting Statement.

18. Agency Contact

Provide the name and telephone number of the agency person best able to answer questions regarding the content of this submission.

19. Certification for Paperwork Reduction Act Submissions

By signing this statement, the Program Official certifies internally to WHS/DIOR that the collection of information encompassed by the request complies with 5 CFR 1320.9. However, the signature of the Senior Official or designee certifies to OMB, for the Department of Defense, that the information encompassed by the request complies with the provisions of 5 CFR 1320.9. Provisions of this certification that the agency cannot comply with should be identified here and fully explained in Item 18 of the attached Supporting Statement. NOTE: The Office that "develops" and "uses" the information to be collected is the office that "conducts or sponsors" the collection of information (see 5 CFR 1320.3(d)).

**CERTIFICATION REQUIREMENT FOR
PAPERWORK REDUCTION ACT SUBMISSIONS**

5 CFR 1320.9 reads "As part of the agency submission to OMB of a proposed collection of information, the agency (through the head of the agency, the Senior Official or their designee), shall certify (and provide a record supporting such certification) that the proposed collection of information -

"(a) is necessary for the proper performance of the functions of the agency, including that the information to be collected will have practical utility;

"(b) is not unnecessarily duplicative of information otherwise reasonably accessible to the agency;

"(c) reduces to the extent practicable and appropriate the burden on persons who shall provide information to or for the agency, including with respect to small entities, as defined in the Regulatory Flexibility Act (5 U.S.C. 601(6)), the use of such techniques as:

"(1) establishing differing compliance or reporting requirements or timetables that take into account the resources available to those who are to respond;

"(2) the clarification, consolidation, or simplification of compliance and reporting requirements; or collection of information, or any part thereof;

"(3) an exemption from coverage of the collection of information, or any part thereof;

"(d) is written using plain, coherent, and unambiguous terminology and is understandable to those who are to respond;

"(e) is to be implemented in ways consistent and compatible, to the maximum extent practicable, with the existing reporting and recordkeeping practices of those who are to respond;

"(f) indicates for each recordkeeping requirement the length of time persons are required to maintain the records specified;

"(g) informs potential respondents of the information called for under 1320.8(b)(3); (see below)

"(h) has been developed by an office that has planned and allocated resources for the efficient and effective management and use of the information to be collected, including the processing of the information in a manner which shall enhance, where appropriate, the utility of the information to agencies and the public;

"(i) uses effective and efficient statistical survey methodology appropriate to the purpose for which the information is to be collected; and

"(j) to the maximum extent practicable, uses appropriate information technology to reduce burden and improve data quality, agency efficiency and responsiveness to the public."

NOTE: 5 CFR 1320.8(b)(3) requires that each collection of information:

"(3) informs and provides reasonable notice to the potential persons to whom the collection of information is addressed of:

"(i) the reasons the information is planned to be and/or has been collected;

"(ii) the way such information is planned to be and/or has been used to further the proper performance of the functions of the agency;

"(iii) an estimate, to the extent practicable, of the average burden of the collection (together with a request that the public direct to the agency any comments concerning the accuracy of this burden estimate and any suggestions for reducing this burden);

"(iv) whether responses to the collection of information are voluntary, required to obtain or retain a benefit (citing authority), or mandatory (citing authority);

"(v) the nature and extent of confidentiality to be provided, if any (citing authority); and

"(vi) the fact that an agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number."

PAPERWORK REDUCTION ACT SUBMISSION

Please read the instructions before completing this form. For additional forms or assistance in completing this form, contact your agency's Paperwork Clearance Officer. Send two copies of this form, the collection instrument to be reviewed, the Supporting Statement, and any additional documentation to: Office of Information and Regulatory Affairs, Office of Management and Budget, Docket Library, Room 18102, 725 17th Street NW, Washington, DC 20503.

1. AGENCY/SUBAGENCY ORIGINATING REQUEST Office of the Assistant Secretary of Defense for Health Affairs		2. OMB CONTROL NUMBER a. _____ <input checked="" type="checkbox"/> b. NONE <u>2384</u>																																			
3. TYPE OF INFORMATION COLLECTION (X one) <i>(For b. - f., note item A2 of Supporting Statement instructions)</i> <input checked="" type="checkbox"/> a. NEW COLLECTION <input type="checkbox"/> b. REVISION OF A CURRENTLY APPROVED COLLECTION <input type="checkbox"/> c. EXTENSION OF A CURRENTLY APPROVED COLLECTION <input type="checkbox"/> d. REIMSTATEMENT, WITHOUT CHANGE, OF A PREVIOUSLY APPROVED COLLECTION FOR WHICH APPROVAL HAS EXPIRED <input type="checkbox"/> e. REIMSTATEMENT, WITH CHANGE, OF A PREVIOUSLY APPROVED COLLECTION FOR WHICH APPROVAL HAS EXPIRED <input type="checkbox"/> f. EXISTING COLLECTION IN USE WITHOUT AN OMB CONTROL NUMBER		4. TYPE OF REVIEW REQUESTED (X one) <input checked="" type="checkbox"/> a. REGULAR SUBMISSION <input type="checkbox"/> b. EMERGENCY - APPROVAL REQUESTED BY: _____ <input type="checkbox"/> c. DELEGATED 5. SMALL ENTITIES Will this information collection have a significant economic impact on a substantial number of small entities? <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO 6. REQUESTED EXPIRATION DATE <input checked="" type="checkbox"/> a. THREE YEARS FROM APPROVAL DATE <input type="checkbox"/> b. OTHER: _____																																			
7. TITLE Professional Qualifications, Medical and Peer Reviewers																																					
8. AGENCY FORM NUMBER(S) (if applicable) OASD/HLTH 38																																					
9. KEYWORDS CHAMPUS, Medical Reviewer, Qualifications																																					
10. ABSTRACT Information collection necessary to obtain and record professional qualifications of medical and peer reviewers utilized with CHAMPUS. Form is included as an exhibit in an appeal or hearing case file as evidence of reviewer's qualifications to review medical documentation. Respondents are medical professionals who provide medical and peer review of cases appealed to the Office of Appeals and Hearing, OCHAMPUS.																																					
11. AFFECTED PUBLIC (Mark primary with "P" and all others that apply with "X") <input type="checkbox"/> a. INDIVIDUALS OR HOUSEHOLDS <input checked="" type="checkbox"/> b. BUSINESS OR OTHER FOR-PROFIT <input type="checkbox"/> c. NOT-FOR-PROFIT INSTITUTIONS <input type="checkbox"/> d. FARMS <input type="checkbox"/> e. FEDERAL GOVERNMENT <input type="checkbox"/> f. STATE, LOCAL OR TRIBAL GOVERNMENT		12. OBLIGATION TO RESPOND (X one) <input type="checkbox"/> a. VOLUNTARY <input checked="" type="checkbox"/> b. REQUIRED TO OBTAIN OR RETAIN BENEFITS <input type="checkbox"/> c. MANDATORY																																			
13. ANNUAL REPORTING AND RECORDKEEPING HOUR BURDEN <table border="1" style="width: 100%; border-collapse: collapse;"> <tr><td>a. NUMBER OF RESPONDENTS</td><td style="text-align: center;">60</td></tr> <tr><td>b. TOTAL ANNUAL RESPONSES</td><td style="text-align: center;">60</td></tr> <tr><td>(1) Percentage of these responses collected electronically</td><td style="text-align: center;">75 %</td></tr> <tr><td>c. TOTAL ANNUAL HOURS REQUESTED</td><td style="text-align: center;">4</td></tr> <tr><td>d. CURRENT OMB INVENTORY</td><td style="text-align: center;">0</td></tr> <tr><td>e. DIFFERENCE (+, -)</td><td style="text-align: center;">4</td></tr> <tr><td>f. EXPLANATION OF DIFFERENCE:</td><td></td></tr> <tr><td> (1) Program change (+, -)</td><td style="text-align: center;">4</td></tr> <tr><td> (2) Adjustment (+, -)</td><td style="text-align: center;">0</td></tr> </table>		a. NUMBER OF RESPONDENTS	60	b. TOTAL ANNUAL RESPONSES	60	(1) Percentage of these responses collected electronically	75 %	c. TOTAL ANNUAL HOURS REQUESTED	4	d. CURRENT OMB INVENTORY	0	e. DIFFERENCE (+, -)	4	f. EXPLANATION OF DIFFERENCE:		(1) Program change (+, -)	4	(2) Adjustment (+, -)	0	14. ANNUALIZED COST TO RESPONDENTS (in thousands of dollars) <table border="1" style="width: 100%; border-collapse: collapse;"> <tr><td>a. TOTAL CAPITAL/STARTUP COSTS</td><td style="text-align: right;">\$1,000.00</td></tr> <tr><td>b. TOTAL ANNUAL COSTS (O&M)</td><td style="text-align: right;">\$500.00</td></tr> <tr><td>c. TOTAL ANNUALIZED COST REQUESTED</td><td style="text-align: right;">\$1,500.00</td></tr> <tr><td>d. CURRENT OMB INVENTORY</td><td style="text-align: right;">\$0.00</td></tr> <tr><td>e. DIFFERENCE (+, -)</td><td style="text-align: right;">\$1,500.00</td></tr> <tr><td>f. EXPLANATION OF DIFFERENCE:</td><td></td></tr> <tr><td> (1) Program change (+, -)</td><td style="text-align: right;">\$1,500.00</td></tr> <tr><td> (2) Adjustment (+, -)</td><td style="text-align: right;">\$0.00</td></tr> </table>		a. TOTAL CAPITAL/STARTUP COSTS	\$1,000.00	b. TOTAL ANNUAL COSTS (O&M)	\$500.00	c. TOTAL ANNUALIZED COST REQUESTED	\$1,500.00	d. CURRENT OMB INVENTORY	\$0.00	e. DIFFERENCE (+, -)	\$1,500.00	f. EXPLANATION OF DIFFERENCE:		(1) Program change (+, -)	\$1,500.00	(2) Adjustment (+, -)	\$0.00
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15. PURPOSE OF INFORMATION COLLECTION (Mark primary with "P" and all others that apply with "X") <input type="checkbox"/> a. APPLICATION FOR BENEFITS <input type="checkbox"/> b. PROGRAM EVALUATION <input checked="" type="checkbox"/> c. GENERAL PURPOSE STATISTICS <input checked="" type="checkbox"/> d. AUDIT <input type="checkbox"/> e. PROGRAM PLANNING OR MANAGEMENT <input type="checkbox"/> f. RESEARCH <input type="checkbox"/> g. REGULATORY OR COMPLIANCE		16. FREQUENCY OF RECORDKEEPING OR REPORTING (X all that apply) <input type="checkbox"/> a. RECORDKEEPING <input type="checkbox"/> b. THIRD PARTY DISCLOSURE <input checked="" type="checkbox"/> c. REPORTING: <table style="width: 100%;"> <tr> <td><input checked="" type="checkbox"/> (1) On Occasion</td> <td><input type="checkbox"/> (2) Weekly</td> <td><input type="checkbox"/> (3) Monthly</td> </tr> <tr> <td><input type="checkbox"/> (4) Quarterly</td> <td><input type="checkbox"/> (5) Semi-Annually</td> <td><input type="checkbox"/> (6) Annually</td> </tr> <tr> <td><input type="checkbox"/> (7) Biennially</td> <td colspan="2"><input type="checkbox"/> (8) Other (Describe)</td> </tr> </table>		<input checked="" type="checkbox"/> (1) On Occasion	<input type="checkbox"/> (2) Weekly	<input type="checkbox"/> (3) Monthly	<input type="checkbox"/> (4) Quarterly	<input type="checkbox"/> (5) Semi-Annually	<input type="checkbox"/> (6) Annually	<input type="checkbox"/> (7) Biennially	<input type="checkbox"/> (8) Other (Describe)																										
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17. STATISTICAL METHODS Does this information collection employ statistical methods? <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO		18. AGENCY CONTACT (Person who can best answer questions regarding the content of this submission) <table style="width: 100%;"> <tr> <td style="width: 70%;"> a. NAME (Last, First, Middle Initial) JAMES, SARAH BETH, GS-13 Chief of Medical Review Division </td> <td style="width: 30%;"> b. TELEPHONE NUMBER (include area code) (202) 555-5555 </td> </tr> </table>		a. NAME (Last, First, Middle Initial) JAMES, SARAH BETH, GS-13 Chief of Medical Review Division	b. TELEPHONE NUMBER (include area code) (202) 555-5555																																
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SAMPLE

OMB CONTROL NUMBER -	TITLE Professional Qualifications, Medical and Peer Reviewers	
19. CERTIFICATION FOR PAPERWORK REDUCTION ACT SUBMISSIONS		
a. PROGRAM OFFICIAL CERTIFICATION (Internal DoD Use Only)		
(1) Signature Self-Explanatory	(2) Date	
<p>On behalf of this Federal agency, I certify that the collection of information encompassed by this request complies with 5 CFR 1320.9.</p> <p>NOTE: The text of 5 CFR 1320.9, and the related provisions of 5 CFR 1320.8(b)(3), appear at the end of the instructions. <i>The certification is to be made with reference to those regulatory provisions as set forth in the instructions.</i></p> <p>The following is a summary of the topics, regarding the proposed collection of information, that the certification covers:</p> <ul style="list-style-type: none"> (a) It is necessary for the proper performance of agency functions; (b) It avoids unnecessary duplication; (c) It reduces burden on small entities; (d) It uses plain, coherent, and unambiguous language that is understandable to respondents; (e) Its implementation will be consistent and compatible with current reporting and recordkeeping practices; (f) It indicates the retention periods for recordkeeping requirements; (g) It informs respondents of the information called for under 5 CFR 1320.8(b)(3) about: <ul style="list-style-type: none"> (i) Why the information is being collected; (ii) Use of information; (iii) Burden estimate; (iv) Nature of response (voluntary, required for a benefit, or mandatory); (v) Nature and extent of confidentiality; and (vi) Need to display currently valid OMB control number; (h) It was developed by an office that has planned and allocated resources for the efficient and effective management and use of the information to be collected (see note in Item 19 of the instructions); (i) If applicable, it uses effective and efficient statistical survey methodology; and (j) It makes appropriate use of information technology. <p>If you are unable to certify compliance with any of these provisions, identify the item below and explain the reason in Item 18 of the Supporting Statement.</p>		
b. SENIOR OFFICIAL OR DESIGNEE CERTIFICATION		
(1) Signature (DOD ONLY)	(2) Date	

SAMPLE

SAMPLE SUPPORTING STATEMENT B

1. JUSTIFICATION:

1.1. The United States Air Force Museum System (USAFMS) consists of the Air Force's national museum at Wright-Patterson AFB, Ohio, Air Force field museums, Air Force historical holdings, and airparks. The USAFMS is responsible for the acquisition, care, control, and disposition of all Air Force historical property. The United States Air Force Museum depicts the general history of the Air Force. It maintains the prime Air Force historical collection for the Air Force and is responsible for preserving the Air Force's material culture and heritage. The museum's manager of volunteer services is responsible for providing quality volunteers to assist in all areas of the museum operation, freeing salaried staff to fulfill their management, operations and education responsibilities. The use of volunteers in military museum programs is authorized by Title 10, United States Code 81, Section 1588, and regulated within the Air Force by Air Force Instruction 35-204. The museum encourages teamwork between salaried staff and volunteers so visitors are provided the best possible service. Volunteers contribute unique talent, skill and knowledge of aviation history, as well as their valuable time, to provide personalized attention to the public. Information collected on the USAFMS volunteer application will be used by the volunteer program manager to determine applicant preferences for work assignment, special skills the applicant has, and the amount of time the applicant is willing to donate to the museum program. Basic personal data (name, address, phone, etc.) will be used to contact the applicant after the application has been reviewed and a decision made on selection or rejection. Selection and work assignments throughout the museum will be based largely on the information provided on the AF Form 3569, *USAF Museum System Volunteer Application/Registration*. The form also will aid the volunteer program manager in determining the most effective means of recruitment. Emergency data is required to contact next of kin in the event of an emergency involving the volunteer.

1.2. This form will be completed by members of the public desiring to volunteer their time and talent to the USAF Museum Program. Museums throughout the USAFMS will use the information provided to evaluate and select volunteers for their museum programs. If the data contained in the AF Form 3569 is not available, the museum system will have no meaningful way to select volunteers and match applicant skills and desires with individual museum needs.

1.3. Other methods were considered; however, there is no technological alternative. The data requested and the means of obtaining it have been reduced to the simplest level. No mailings are made, the data is collected at the museum, and it is provided by the applicants as they complete the form without the need of outside assistance.

1.4. Other Air Force programs were researched to determine the potential for duplication; the only other organized Air Force use of volunteers is in the area of family support. This form does not duplicate any document or form used in that program.

- 1.5. There is no similar information available.
- 1.6. This collection of information does not involve small businesses or other small entities.
- 1.7. Data is collected only once from each applicant; it cannot be collected less frequently.
- 1.8. The collection of information is not inconsistent with the guidelines in Title 5, Code of Federal Regulations 1320.6.
- 1.9. Personal and telephone contacts were made in 1990 to U.S. Air Force museums and agencies, non-Air Force museums, and non-profit agencies for the purpose of examining and comparing different methods used to collect written personal information from new volunteers. The number of outside organizations represented by these agencies is unknown.
Agencies/volunteer administrators contacted:
 - 1.9.1. Ms. Carol Nash, Hill AFB Museum, UT, DSN 458-6818
 - 1.9.2. Mr. Steve Draper, Lowry AFB Heritage Museum, CO, DSN 426-3028
 - 1.9.3. Ms. Kay Wilz, March AFB Field Museum Foundation, CA, DSN 947-3725
 - 1.9.4. Ms. Kathleen McCleskey, Langley AFB, VA, DSN 680-2404
 - 1.9.5. Ms. Patricia Long, National Air & Space Museum, DC, Commercial 202-357-1504
 - 1.9.6. Ms. Mary Williams, Veterans Administration Hospital, OH,
Commercial 513-268-6511, ext 2162
 - 1.9.7. Ms. Pamela Huber, Wright-Patterson AFB Family Support Center, OH
DSN 787-3592
 - 1.9.8. Ms. Esther Burns, Wright-Patterson AFB Red Cross, OH, DSN 787-9876
 - 1.9.9. Mr. Thomas Swanton, Tuscon Air Museum of Pima County AZ,
Commercial 602-574-0462
 - 1.9.10. Ms. Jan Cullenen, Ohio's Center of Science and Industry Museum, OH,
Commercial 614-228-2674, ext 240
 - 1.9.11. Ms. Edna Ruefner, Voluntary Action Center, Dayton United Way Agency, OH,
Commercial 513-225-3068
 - 1.9.12. Ms. Shirley Hokenson, Retired Senior Volunteer Program, Springfield, OH,
Commercial 513-323-4946
 - 1.9.13. Ms. Suzanne Edmundson, Retired Senior Volunteer Program, Dayton, OH,
Commercial 513-223-8246
- 1.10. Results revealed that recordkeeping requirements differ. Conclusion: Develop a form to fit the needs of the USAF Museum and the USAF Museum Program.
- 1.11. No other public contacts were made.
- 1.12. The Privacy Act Statement on AF Form 3569 assures compliance with the Privacy Act.
- 1.13. No sensitive information is requested.

1.14. Annual cost of this form is \$4,123.80. The following computations assume an annual usage of 500 forms.

Cost to the Government:

Printing:	50.00
Review and Processing (GS-07 hourly wage (\$11.86) x .5 hr per form x 500):	<u>\$2,965.00</u>
Total Cost to Government	\$3,015.00

Cost to Respondent:

Postage (32 cents x 500):	\$ 160.00
Form completion (GS-07 hourly wage equivalent (\$11.86) x .16 hr per form x 500):	\$ <u>948.80</u>
Total Cost to Respondent	\$1,108.80

1.15. It will take 500 annual applicants 10 minutes each to complete the form:
10 minutes X 500 = 80 hours.

1.16. This is a new form, therefore the annual 80-hour burden is an increase.

1.17. Results will not be published for statistical purposes.

2. COLLECTIONS OF INFORMATION EMPLOYING STATISTICAL METHODS:

This collection of information does not employ statistical methods.

AGENCY DISCLOSURE NOTICE (ADN)

Display the following ADN at the top of the instrument of collection immediately under the OMB control number and expiration date:

The public reporting burden for this collection of information is estimated to average XX minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing the burden, to Department of Defense, Washington Headquarters Services (WHS), Directorate for Information Operations and Reports (DIOR), (XXXX-XXXX [enter 8-digit OMB control number]), 1215 Jefferson Davis Highway, Suite 1204, Arlington VA 22202-4302. Respondents should be aware that notwithstanding any other provision of law, no person shall be subject to any penalty for failing to comply with a collection of information if it does not display a currently valid OMB control number. ***(NOTE: Do not return your form to the above address. Return completed form to (enter address or instructions as applicable).***

REQUEST FOR CLEARANCE OF AN INTERAGENCY REPORTING REQUIREMENT		1. FOR GSA USE													
<p style="text-align: center; margin: 0;">INSTRUCTIONS</p> <p style="margin: 0;">Submit original and one copy together with one copy each of the proposed report, supporting directive and justification statement to GSA, NARS, Office of Records Management. See FPMR (CFR 41) 101-11.11 for further instructions.</p>		<p>a. Interagency Report Control No. _____</p> <p>b. Currently assigned expiration date: _____</p>													
<p>2. NAME, ADDRESS AND ZIP CODE OF REQUESTING AGENCY</p> <p>UNITED STATES TRANSPORTATION COMMAND 508 SCOTT DRIVE SCOTT AFB IL 62225-5357</p>		<p>3. TITLE OF PROPOSED REPORTING REQUIREMENT</p> <p>Printing, Duplicating, and Copying Management Report</p>													
<p>4. TYPE OF REQUEST</p> <p>a. <input checked="" type="checkbox"/> NEW</p> <p>b. <input type="checkbox"/> REVISION</p> <p>c. <input type="checkbox"/> EXTENSION (No change)</p> <p>d. <input type="checkbox"/> WAIVER</p>		<p>5. FREQUENCY OF USE</p> <p>a. <input type="checkbox"/> SINGLE TIME e. <input type="checkbox"/> QUARTERLY</p> <p>b. <input type="checkbox"/> ON OCCASION f. <input type="checkbox"/> SEMI-ANNUALLY</p> <p>c. <input type="checkbox"/> WEEKLY g. <input checked="" type="checkbox"/> ANNUALLY</p> <p>d. <input type="checkbox"/> MONTHLY h. <input type="checkbox"/> OTHER (Specify) _____</p>													
<p>6. REVISIONS AND EXTENSIONS</p> <p>a. Currently assigned Interagency Report Control No. _____</p> <p>b. Currently assigned expiration date: _____</p>															
<p>7. CANCELED OR MODIFIED REPORTS OR FORMS (List by title and Interagency Report Control or OMB Approval Number any Reports and Forms to be canceled or modified by this Interagency Report)</p> <p>None</p>															
<p>8. SUMMARY OF ESTIMATED REPORTING WORKLOAD</p> <table style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 80%;">a. Number of responding agencies</td> <td style="width: 20%; text-align: center;">4</td> </tr> <tr> <td>b. Number of times this report submitted annually by each responding agency</td> <td style="text-align: center;">1</td> </tr> <tr> <td>c. Total number of reports submitted annually (a X b)</td> <td style="text-align: center;">4</td> </tr> <tr> <td colspan="2"><i>(Items d and e apply to Interagency Public Reports only)</i></td> </tr> <tr> <td>d. Average number of man-hours required to prepare and transmit one report</td> <td></td> </tr> <tr> <td>e. Total number of man-hours required to prepare and transmit reports annually (c X d)</td> <td></td> </tr> </table>				a. Number of responding agencies	4	b. Number of times this report submitted annually by each responding agency	1	c. Total number of reports submitted annually (a X b)	4	<i>(Items d and e apply to Interagency Public Reports only)</i>		d. Average number of man-hours required to prepare and transmit one report		e. Total number of man-hours required to prepare and transmit reports annually (c X d)	
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<p>9. SUMMARY OF ESTIMATED REPORTING COSTS</p>		<table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 40%;">REQUIRING AGENCY (Col. 1)</th> <th style="width: 30%;">RESPONDING AGENCIES (Col. 2)</th> <th style="width: 30%;">TOTAL (Col. 1+2)</th> </tr> </thead> <tbody> <tr> <td>a. Developmental costs \$ 6,400.00</td> <td>\$ 4,800.00</td> <td>\$ 11,200.00</td> </tr> <tr> <td>b. Annual operational costs xxxxxxxxx</td> <td>\$ 3,300.00</td> <td>\$ 3,300.00</td> </tr> <tr> <td>c. Annual user costs \$ 4,200.00</td> <td>xxxxxxxxx</td> <td>\$ 4,200.00</td> </tr> </tbody> </table>		REQUIRING AGENCY (Col. 1)	RESPONDING AGENCIES (Col. 2)	TOTAL (Col. 1+2)	a. Developmental costs \$ 6,400.00	\$ 4,800.00	\$ 11,200.00	b. Annual operational costs xxxxxxxxx	\$ 3,300.00	\$ 3,300.00	c. Annual user costs \$ 4,200.00	xxxxxxxxx	\$ 4,200.00
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c. Annual user costs \$ 4,200.00	xxxxxxxxx	\$ 4,200.00													
<p>10. SIGNATURE OF INTERAGENCY REPORTS COORDINATOR</p> <p>SARAH JANE SMITH Chief, FOIA, PA, and Reports Mgt Div</p>		<p>DATE</p> <p>9 Jan 97</p>													
FOR GSA USE															
<p>11. DISPOSITION OF REQUEST BY GSA, NARS, OFFICE OF RECORDS MANAGEMENT</p> <p>a. <input type="checkbox"/> APPROVED</p> <p>b. <input type="checkbox"/> DISAPPROVED (See attachment)</p> <p>c. <input type="checkbox"/> RECOMMENDED MODIFICATION (See attachment)</p>		<p>REMARKS</p>													
<p>12. SIGNATURE OF INTERAGENCY REPORTS MANAGEMENT OFFICER</p>		<p>DATE</p>													